

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	2713246
<b>Application Number:</b>	10632818
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	5247
<b>Title of Invention:</b>	Auction system and method for pricing and allocation during capital formation
<b>First Named Inventor/Applicant Name:</b>	William R. Hambrecht
<b>Customer Number:</b>	2101
<b>Filer:</b>	Robert Asher
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	2955/107
<b>Receipt Date:</b>	14-JAN-2008
<b>Filing Date:</b>	04-AUG-2003
<b>Time Stamp:</b>	17:26:42
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$ 180
RAM confirmation Number	2502
Deposit Account	194972
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## File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1	NPL Documents	FB.pdf	1572538	no	3
			8a05973acabeb201e1a2c4750545ad32953ca49f1		

### Warnings:

### Information:

2	NPL Documents	FC.pdf	97062	no	2
			36da490d77436505d1b05fcaad01d7b06e3b50		

### Warnings:

### Information:

3	NPL Documents	FA2955107.pdf	2045456	no	17
			36e193d3d09557632b3d718152f330d81f84		

### Warnings:

### Information:

4		d0g2955107SupplAmend.pdf	314635	yes	11
			d412427067363b78710e165aa8530e5d5564959		

### Multipart Description/PDF files in .zip description

Document Description		Start	End
Miscellaneous Incoming Letter		1	2
Supplemental Response or Supplemental Amendment		3	11

### Warnings:

### Information:

5	Information Disclosure Statement (IDS) Filed	d0g2955107SupplIDS2.pdf	207129	no	9
			14969d3d06c57c092524c9f1652ba3d2b486564		

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6	NPL Documents	EZ.pdf	809450	no	12
			99953d44b2079f9c6855565d36e83501b57d6fa		

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<b>Information:</b>					
7	Fee Worksheet (PTO-06)	fee-info.pdf	8188	no	2
			3351a4310bba730cad1e40ec4c5cbea0c27ea3b9		

**Warnings:**

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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.